

Applicant or Patentee: Glorioso et al.
Serial or Patent No. Unassigned
Filed or Issued: Concurrently herewith
For: ADENO-ASSOCIATED VIRAL GENE-TRANSFER VECTOR SYSTEM

VERIFIED STATEMENT (DECLARATION)
CLAIMING SMALL ENTITY STATUS
37 C.F.R. §§ 1.9(f) & 1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: University of Pittsburgh of the Commonwealth System
of Higher Education
Address of Organization: 911 William Pitt Union 200 GSCC
Pittsburgh, PA 15260 Thackeray + O'Hara Sts.

Type of Nonprofit Organization:

- ☒ University or other institution of higher education.
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)).
☐ Nonprofit scientific or educational organization under statute of state of the United States of America:
Name of State: _____
Citation of Statute: _____
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the United States of America.
☐ Would qualify as nonprofit scientific or educational organization under statute of state of the United States of America if located in the United States of America.
Name of State: _____
Citation of Statute: _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled ADENO-ASSOCIATED VIRAL GENE-TRANSFER VECTOR SYSTEM, by the inventors Glorioso et al., described in:

- ☒ The specification filed herewith.
☐ Application Serial No. , filed
☐ Patent No. , issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

00506301.021700

In re Appln. of Glorioso et al.
Attorney Docket No. 204001

Others Having Rights In The Invention

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d), or a nonprofit organization under 37 C.F.R. § 1.9(e). (NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to his/her/its status as a small entity.)

Name:

Address:

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true, that all statements made on information and belief are believed to be true, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Frances J. Connell, Esq.
Title in Organization: Director of Office of Technology Transfer
and Intellectual Property
Address of Person Signing: University of Pittsburgh
200 Gardner Steel Conference Center
Pittsburgh, PA 15260

Signature

Date